

# HOPE VI Programs Application

Revitalization Program  
Demolition Program



2000

U.S. Department of Housing and Urban Development  
Andrew Cuomo, Secretary



## **HOPE VI REVITALIZATION APPLICATION TABLE OF CONTENTS**

Changes in the FY 2000 HOPE VI Revitalization NOFA

Application Submission Instructions

Revitalization Application Checklist

Glossary of Terms

Revitalization Narrative Exhibits

Attachments

Certifications

Public Reporting Burden for this collection is estimated to average 190 hours, including the time for reviewing instructions, searching data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This burden includes the 80 hours estimated to complete the HOPE VI Revitalization Data Form (HUD-52860-A). Response to this collection of information is mandatory to obtain a benefit. The information requested does not lend itself to confidentiality. HUD may not conduct or sponsor, and an applicant is not required to respond to a collection of information unless it displays a currently valid OMB control number.

## FY 2000 HOPE VI REVITALIZATION APPLICATION

### CHANGES IN THE FY 2000 HOPE VI REVITALIZATION NOFA

1. Implementation of Section 24. This NOFA implements the Public Housing Reform Act, which authorized the HOPE VI Program for the first time as section 24 of the 1937 Act. Although many provisions of section 24 were included in the FY 1999 HOPE VI NOFA, the FY 2000 NOFA incorporates all elements of section 24.
2. One Application. PHAs may submit only one HOPE VI Revitalization application, as opposed to the two they were allowed to submit in FY 1999. The cap of \$35 million per applicant remains the same.
3. Scattered Sites. Provision is made for submitting an application for a scattered site project that falls within a one square mile area.
4. Homeownership. Homeownership under HOPE VI may no longer be carried out subject to the Nehemiah, section 5(h), HOPE II, or HOPE III Programs. Homeownership is now subject to provisions of the Public Housing Reform Act. The 5(h) program has been essentially replaced by section 32, which will be codified at 24 CFR part 906. The section 32 program can be used in combination with HOPE VI funds. All homeownership units under the HOPE VI Program must be sold to persons with incomes of up to 80 percent of Area Median Income. Previously, some homeownership units could be sold to persons with incomes up to 115 percent of median.
5. Public Meetings. In order not to penalize applicants who have several pages of public meeting sign-in sheets in terms of the 100-page attachment page limit, applicants need only submit the first page of each meeting's sign-in sheets and certify to the total number of sheets for each meeting.
6. TDC/Grant Limitations. The Grant Limitations Worksheet has been revised to not only calculate the maximum grant amount, but also to calculate the TDC cap for housing and community renewal.
7. Certification of Severe Distress. This certification must be signed by an engineer **or architect** licensed by their state licensing board. Last year's NOFA provided only for an engineer to make this certification, and did not require credentials.
8. Appropriateness. Each application must demonstrate the appropriateness of the proposal in the context of the local housing market relative to other alternatives. This is a threshold requirement for both Revitalization and Demolition grants.
9. Subgrant Agreements. For-profit entities or community and supportive service coordinators may not act as subgrantees but must be procured under 24 CFR part 85.
10. Section 8. Applicants must append a Section 8 application, as applicable, to their HOPE VI application, in accordance with Section II(C) of the NOFA.

11. Neighborhood Networks. The Neighborhood Networks initiative that was first implemented for assisted housing, must be adapted to HOPE VI projects. This program makes computers available to residents so that they may improve their skills and job readiness.
12. Endowment Trust for Community and Supportive Services. This provision of the Public Housing Reform Act is being implemented for the first time. Grantees may invest all or part of their CSS funds, to be used over a time period that they determine. This is a departure from the rule that all HOPE VI funds be disbursed within three days from the date they are requested from HUD.
13. Deconstruction, PATH. Grantees are encouraged to incorporate deconstruction, or the salvaging of building materials, in their demolition plan. They are also urged to use PATH advanced technologies in the construction and delivery of housing.
14. Scoring. For the first time, the range of points used by HUD to rate applications is included in the NOFA itself. These point spreads were previously only included in internal review instructions.
15. New Factors.  

Diversity of Team: One point will be awarded to applications that propose to include minority(ies), women, and/or individuals with disabilities in the overall planning, development, and management team that will be involved in the HOPE VI revitalization effort.

Design: More emphasis is placed on quality of design of revitalized units by awarding up to 3 points to applications that demonstrate that units blend into the community. Emphasis is also placed on tree and shrub planting for environmental and aesthetic reasons.
16. Section 8. All applicants must propose to use Section 8 assistance as a method of relocation in order to receive up to 5 points. Emphasis is placed on providing community and supportive services to former residents who have been relocated via Section 8, with services beginning before the residents move. Applicants must submit a Section 8 application with their HOPE VI application.
17. Leveraging. Leveraging resources for development and services will be rated solely on the basis of firm commitments from resource providers. The amount of HOPE VI funds requested will be compared to the amount of leveraging committed to come up with a ratio upon which points will be awarded.
18. Opposition. In FY 1999, HUD considered letters submitted by parties that opposed the revitalization plan submitted by housing authorities. This year, HUD will only consider letters of opposition received within the ten days prior to the application deadline and that indicate that copies of the letters have been sent to the housing authority.

## APPLICATION SUBMISSION INSTRUCTIONS

### A. Application Preparation

The preparation of an approvable HOPE VI Revitalization application is time-consuming and can involve significant costs. Only one in four of the FY 1999 applicants were funded. You are cautioned that only applicants with strong showings of need, capability, and vision can be selected.

1. Your application must be complete and you must present all items in a manner which is succinct and clear, and responds to *every requirement and question posed*. Many applicants lose crucial points because they do not answer a question, because answers are unclear, and/or because there are inconsistencies in numbers or data in different parts of the application.
2. If you have not already done so, you are advised to enter into a meaningful planning process with affected residents and the surrounding community to achieve a consensus plan at application submission. Take careful note of the public training and meeting requirements in Section IV(C)(1) of the NOFA, and be sure to advertise and document those meetings carefully. Note that at least two of those meetings must be held after the publication of the NOFA and before the application due date. Additional meetings, task forces, and input are strongly encouraged.
3. Immediately contact public, private, and nonprofit entities, agencies, and organizations from which you plan to obtain letters, materials, or documents. This includes service providers, banks, state housing finance agencies, and other sources of financial assistance. Note the requirement of a certification of severe physical distress by an independent, certified engineer or architect required by Section V(B)(1)(a) of the NOFA. If you request funds to pay for extraordinary site costs in accordance with Section II(A)(3)(d) of the NOFA, and independent certified engineer or architect must justify and verify those costs. Also be sure to give local and state governments, EZ/EC governing bodies, and other similar groups as much time as possible to provide their certifications and other input.
4. Throughout, please refer to the Glossary for additional information and to ensure that you are interpreting all terms consistently.

## B. Application Content and Organization

1. **Acknowledgement of Application Receipt** (HUD-2993). The very first page of your application is the Acknowledgement of Receipt form. Print or type your name and address inside the box provided. When HUD receives your application, this receipt will be detached from your application and mailed to you to indicate that your application was received. Please rely on this receipt and/or your overnight tracking number to determine whether your application was received. If you would like to have the receipt faxed to you, please include your fax number on the form.
2. **Application for Federal Assistance** (SF-424). The CFDA number for the HOPE VI Program is 14.866. This form is included in Part V of this HOPE VI Application Kit.
3. **Application Checklist**. This list of application narrative exhibits, attachments, and certifications is designed both to assist you in ensuring that all required elements of an application are included, and to be used as a table of contents for your completed application.
4. **The Narrative Exhibits** constitute specific aspects of the Revitalization Plan and respond to the rating criteria in the HOPE VI Revitalization NOFA. The Narrative Exhibits make up the first part of the application. All narrative pages must be numbered sequentially, and may not exceed 75 pages, in accordance with Section IX(A)(2) of the NOFA. Adherence to the page limit is mandatory. HUD reviewers will not consider any material after the first 75 pages.
5. **Attachments** must be located behind the Narrative Exhibits. Information in attachments does not substitute for answers to questions that should be included in a Narrative. You may include a maximum of 100 pages of attachments, in accordance with Section IX(A)(2) of the NOFA. HUD will not consider material on any material after the first 100 pages. Attachments include photographs, maps, illustrations, public meeting documentation, Application Data Forms, letters committing financial support, etc. Videos and resumes are specifically prohibited. Fill out the Application Data Forms as completely as possible, using best estimates if necessary. Be sure that all numbers and data throughout the narrative and attachments are consistent. Do not fill in fields blocked in gray.
6. **Certifications** must be placed at the end of the application, in the order provided on the Application Checklist.

### C. Application Format

To speed the processing of your application and make it easier for HUD reviewers to find the information they need to rate your application, please follow these instructions when assembling your package:

1. Double space your narrative pages.
2. Use 8-1/2 by 11" paper, one side only.
3. All margins should be 1 inch, but may be no smaller than 1/2 inch.
4. Use at least an 11 point font.
5. After the entire application is assembled, number each page of your narrative exhibits, up to the 75 page limit.
6. Mark each narrative exhibit with an appropriately labeled tab.
7. Number each page of your attachments, up to the 100 page limit.
8. Mark each attachment with an appropriately labeled tab.
9. Package the application as securely and simply as possible; do not use a three ring binder.
10. Two-hole punch the pages at the top with a 2-3/4" center.

### D. Application Submission

Follow the directions in the General Section of the SuperNOFA for procedures for submitting your application (e.g., mailed applications, express mail, overnight delivery, or hand carried). It is recommended that applications be placed with an overnight delivery carrier at least two days before the due date to ensure timely delivery. Experience has shown that attempts to hand-carry applications or place them in regular mail often result in late deliveries and disqualified applications.

### E. Technical Assistance and Training

1. This HOPE VI Application Kit is the sole document that will be distributed to potential applicants. One copy will be sent to each eligible PHA. Additional copies may be obtained by calling the SuperNOFA Information Center at 800-483-8929.
2. A satellite broadcast that will review the NOFA and answer questions is scheduled to be held on April 7 from 1:00 to 5:00 Eastern time. Contact your Field Office for information on how to view this broadcast.
3. Frequently asked questions will be posted to the HUD Home Page ([www.hud.gov](http://www.hud.gov)) and the HOPE VI Home Page ([www.hud.gov/pih/programs/ph/hope6/hope6.html](http://www.hud.gov/pih/programs/ph/hope6/hope6.html)). Applicants are responsible for checking these sites periodically for any clarifications.
4. If you are proposing a mixed-finance project, you should immediately obtain a copy of the Mixed Finance Guidebook by calling the Public Housing Clearinghouse at 800-955-2232. Be sure to ask for the Mixed Finance Guidebook, and **not** the HOPE VI Grant Implementation Guidebook, which is only for PHAs that have been awarded HOPE VI grants.

---

**REVITALIZATION APPLICATION CHECKLIST**

Acknowledgment of Application Receipt (HUD-2993)

Application for Federal Assistance (SF-424)

Narrative Exhibits

Exhibit A: Summary Information

- A.1 Executive Summary
- A.2 Appropriateness of Proposal
- A.3 Evaluation

Exhibit B: Capacity

- B.1 Revitalization Capacity and Experience
- B.2 Community and Supportive Services Capacity and Experience
- B.3 Property Management Capacity and Experience
- B.4 Other Team Members
- B.5 Diversity of Team
- B.6 Obligation of Modernization Funds

Exhibit C: Need

- C.1 Need for Revitalization
- C.2 Impact on the Neighborhood
- C.3 Need for Funding
- C.4 Identification of Need by the Community
- C.5 Need for Affordable Housing in the Community

Exhibit D: Predevelopment Activities

- D.1 Relocation and Section 8
- D.2 Hazard Reduction
- D.3 Demolition
- D.4 Disposition
- D.5 Acquisition
- D.6 Site Improvements

Exhibit E: Physical Revitalization Plan

- E.1 Physical Plan
- E.2 Design
- E.3 Market
- E.4 Lessen Concentration
- E.5 Affirmatively Furthering Fair Housing
- E.6 Separability

- Exhibit F: Community and Supportive Services
  - F.1 CSS Plan
  - F.2 Endowment Trust
  
- Exhibit G: Resident and Community Outreach and Involvement
  - G.1 Collaboration and Inclusiveness
  - G.2 Logistics
  - G.3 Communication
  - G.4 Dissention
  
- Exhibit H: Operation and Management Principles and Policies
  - H.1 Self-Sufficiency and Economic Diversity; Safety and Security
  - H.2 Diversity
  
- Exhibit I: Program Costs and Leveraging
  - I.1 Hard Development Costs
  - I.2 Soft Costs
  - I.3 Prior HUD Public Housing Grant Assistance
  
- Exhibit J: Participation in the Consolidated Plan/AI Process

Attachments

- Attachment 1: City Map
- Attachment 2: Current site map
- Attachment 3: Proposed site map
- Attachment 4: Evaluation Commitment
- Attachment 5: Staffing and Time Allocation Plan
- Attachment 6: Organizational Chart
- Attachment 7: Program Schedule
- Attachment 8: Developer Commitment
- Attachment 9: CSS Team Commitments
- Attachment 10: Property Manager Commitment
- Attachment 11: Other Team Member Commitments
- Attachment 12: Representative Photographs
- Attachment 13: Certification of Severe Physical Distress
- Attachment 14: Neighborhood Conditions
- Attachment 15: Section 8 Application \*
- Attachment 16: Conceptual Site Plan
- Attachment 17: Conceptual Interior Unit Design Illustrations
- Attachment 18: Conceptual Elevations
- Attachment 19: Photographs of Architecture in the Surrounding Community
- Attachment 20: Application Data Form: Cover Sheet
- Attachment 21: Application Data Form: Existing Units, Occupancy, Vacancy
- Attachment 22: Application Data Form: Relocation, Income, and Non-Dwelling Structures
- Attachment 23: Application Data Form: Proposed Unit Mix Post-Revitalization
- Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration
- Attachment 25: Application Data Form: Self-Sufficiency

Attachments, Continued

Attachment 26: Application Data Form: Sources and Uses

Attachment 27: Preliminary Market Assessment Letter

Attachment 28: Public Meetings Documentation

Attachment 29: HOPE VI Budget \*

Attachment 30: Grant Limitations/TDC Worksheet

Attachment 31: Extraordinary Site Costs

Attachment 32: Non-Public Housing Leveraged Resource List

Attachment 33: Resource Commitment Letters

Attachment 34: Documentation of Coordination

Attachment 35: Consolidated Plan/AI

Certifications

HOPE VI Revitalization Applicant Certifications (Form HUD-52820-A)

Assurances - Construction Programs (SF 424D) \*

Certification of Consistency with the Consolidated Plan (Form HUD-2991)

Certification of Consistency with the EZ/EC Strategic Plan (Form HUD-2990), if applicable

Certification Regarding Debarment and Suspension (HUD-2992) \*

Certification for a Drug-Free Workplace (Form HUD-50070) \*

Certification of Payments to Influence Federal Transactions (Form HUD-50071) \*

Disclosure of Lobbying Activities (Form SF-LLL), if applicable \*

Recipient Disclosure/Update Report (Form HUD 2880)

\* Form located in Part V of this HOPE VI Application Kit

## GLOSSARY OF TERMS

The following is an alphabetical Glossary of terms that can be found in the NOFA. Please consult this Glossary while reading the NOFA to ensure that you are interpreting these terms correctly.

**Accessibility:** All new construction of covered multifamily buildings must include certain features of accessible and adaptable design. Units covered are all those in buildings with four or more units and one or more elevators, and all ground floor units in buildings without elevators. The accessible design requirements are:

1. Accessible entrance on an accessible route
2. Accessible public and common use areas
3. Accessible doorways
4. Accessible routes into and through the unit
5. Accessible light switches, electrical outlets, and environmental controls
6. Reinforced walls in bathrooms
7. Usable kitchens and bathrooms

HUD encourages accessibility in for-sale units (5 percent for mobility impaired and 2 percent for hearing or vision disabilities) as well as multifamily rental units. More information on accessibility may be obtained from HUD's Home Page ([www.hud.gov/fairhsg1.html](http://www.hud.gov/fairhsg1.html)).

**Adaptability:** As defined by 24 CFR 8.3, the ability of certain elements of a dwelling unit, such as kitchen counters, sinks, and grab bars, to be added to, raised, lowered, or otherwise altered, to accommodate the needs of persons with or without handicaps, or to accommodate the needs of persons with different types or degrees of disability. For example, in a unit adaptable for a hearing-impaired person, the wiring for visible emergency alarms may be installed so that the unit can be made ready for occupancy by a hearing-impaired person. More information on adaptability may be obtained by calling HUD on (202) 708-2333 or the TTY telephone number, 1-800-877 8339 (Federal Information Relay Service).

**Annual Contributions Contract (ACC):** A contract (in the form prescribed by HUD) for loans and contributions, which may be in the form of grants, whereby HUD agrees to provide financial assistance and the PHA agrees to comply with HUD requirements for the development and operation of a public housing project.

**Acquisition Proposal:** A proposal to acquire land or land with improvements to be demolished. The proposal must meet the requirements of 24 CFR 941.303, and must be submitted to and approved by HUD before HOPE VI or other public housing funds may be used for acquisition of property. The Acquisition Proposal will include documentation of site control, zoning, appraisal, etc. To acquire land with improvements which will not be demolished, the Grantee must submit a Development Proposal in accordance with 24 CFR 941.303 (conventional development) or 24 CFR 941.606 (mixed-finance development).

**The Act:** The United States Housing Act of 1937 (42 U.S.C. 1437) as amended.

**AmeriCorps:** You are encouraged to link your proposed activities with AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000, or visit the AmeriCorps website ([www.cns.gov/ameriCorps](http://www.cns.gov/ameriCorps)).

**Bridging the Digital Divide:** An initiative whose objective is to provide access to computers to low- and moderate-income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. HUD's Neighborhood Networks program (see below) is one initiative that incorporates education and job training opportunities.

**Capital Fund:** Public Housing Modernization programs (CIAP, Comp Grant) have been consolidated into the Capital Fund, which will distribute all funds to PHAs by formula.

**CDBG funds:** Community Development Block Grant funds. Funds awarded by HUD by formula to units of general local government and to states, which may then award a grant or loan to a PHA, partnership, or other entity for revitalization activities. CDBG funds may be granted to a non-profit and then loaned to a project's for-profit partnership. Information about the CDBG Program can be found on HUD's Home Page ([www.hud.gov/cpd/cpd/cpdprog.html](http://www.hud.gov/cpd/cpd/cpdprog.html)).

**CFDA:** The Catalog of Federal Domestic Assistance is a government-wide compendium of Federal programs, projects, services, and activities which provide assistance or benefits to the public. HOPE VI's CFDA number is 14.866. A list of CFDA numbers for all HUD programs can be found on HUD's Home Page ([www.hud.gov/cfda/cfda.html](http://www.hud.gov/cfda/cfda.html)).

**CFR:** The Code of Federal Regulations can be found and sections downloaded from HUDCLIPS ([www.hudclips.org](http://www.hudclips.org)).

**CIAP:** The Comprehensive Improvement Assistance Program, which provided HUD funds to all PHAs prior to 1992 and to small (less than 250 units) PHAs from 1992 to 1999, for rehabilitation of housing projects. CIAP has been replaced by the public housing Capital Fund Program, effective FY 2000 (see above).

**CGP:** The Comprehensive Grant Program, which provided HUD funds to medium and large (more than 250 units) PHAs for rehabilitation of housing projects. CGP has been replaced by the public housing Capital Fund, effective FY 2000 (see above).

**Consolidated Plan:** Developed by local and state governments with the input of citizens and community groups, the Consolidated Plan serves four functions:

1. It is a planning document for each state and community, built upon public participation and input.
2. It is the application for funds under HUD's formula grant programs: the Community Development Block Grant Program, the HOME Program, Emergency Shelter Grants, and Housing for People With AIDS.
3. It describes local needs and priorities for HUD community planning and development funds.
4. It constitutes a 3-to-5-year strategy the jurisdiction will follow in implementing HUD programs.

Each HOPE VI revitalization application must include a certification from the applicable State or local government official responsible for submitting the appropriate Consolidated Plan under 24 CFR part 91 that the proposed activities are consistent with the approved Consolidated Plan of the State or unit of general local government within which the project is located. If the local jurisdiction in which revitalized units will be located does not have a Consolidated Plan or an Abbreviated Consolidated Plan, a certification from the State must be submitted. To find out who to contact regarding your locality's Consolidated Plan, access HUD's Home Page ([www.hud.gov/cpd/conplan.html](http://www.hud.gov/cpd/conplan.html)).

**(HOPE VI) Coordinator:** The HOPE VI Coordinator will be the official contact person for the HUD Grant Manager, and will coordinate all HOPE VI activities on behalf of the Grantee.

**Conversion Plan:** see Section 202 Mandatory Conversion Plan, below.

**Deconstruction:** HUD encourages you to design programs that incorporate sustainable construction and demolition practices, such as the dismantling or "deconstruction" of public housing units, recycling demolition debris, and reusing salvage materials in new construction. For articles on the concept of deconstruction, go to the U.S. Forest Service website ([www.fpl.fs.fed.us/query.asp](http://www.fpl.fs.fed.us/query.asp)) and enter deconstruction as the search term.

**Development:** A public housing project with units under an ACC. For FY 2000 HOPE VI Revitalization applications, projects that are contiguous, immediately adjacent to one another, or within 1/4 of a mile from each other will be considered one development for purposes of inclusion in the proposed revitalization.

**Development Funds:** Funds awarded by HUD to PHAs under the Public Housing Development Program consistent with Regulations at 24 CFR part 941. Development funds must be used for the development of public housing, and may be combined with HOPE VI and other funds for this purpose. Although the last Development funds were distributed to PHAs in FY 1995, many authorities have funds remaining which can be used in conjunction with a HOPE VI project or in a mixed-finance project without HOPE VI.

**Development Partner:** A third party entity with which the PHA enters into a partnership or other contractual arrangement to provide for the mixed-finance development of public housing units. The Development Partner has primary responsibility with the PHA for the development of the housing units and/or non-residential structures under the terms of the approved mixed-finance proposal. PHAs must procure development partners in accordance with 24 CFR part 85, subject to the following proviso: 941 subpart F allows for procurement by a PHA of a Development Partner using competitive proposal procedures for qualifications-based procurement, where price may be negotiated separately.

**Designated Housing Allocation Plan:** A plan to designate a public housing development for elderly families, disabled families, and a combination of the two. The Plan must be submitted to HUD's Special Applications Center for approval and follow the requirements of Notice PIH 98-24 (HA). A PHA may designate all, or a portion of a public housing development for use by specific resident populations, provided that those residents are already eligible for occupancy in public housing. More information is on HUD's Home Page ([www.hud.gov/sac/designhousing.html](http://www.hud.gov/sac/designhousing.html)).

**EZ/ECs:** Federally-designated Empowerment Zones, Enterprise Communities, Urban Enhanced Enterprise Communities and Strategic Planning Communities are urban areas designated by the Secretary of HUD pursuant to 24 CFR part 597 or rural areas designated by the Secretary of Agriculture pursuant to 7 CFR part 25, subpart B. A list of all EZs and ECs is included in Part III of the HOPE VI Application Kit, and can also be found on HUD's Home Page ([www.hud.gov/cpd/ezec/ezbyez.html](http://www.hud.gov/cpd/ezec/ezbyez.html)). Revitalization applicants can earn up to two points if their activities take place within an EZ or EC, in accordance with Section III(C)(1) of the General Section of the NOFA. Similar areas designated by States or cities do **not** constitute EZ/ECs, and projects located in such areas are not eligible for the bonus points.

**Existing conditions:** Conditions at the time of the HOPE VI Revitalization application submission. If some or all of the original project has been demolished as of the time of HOPE VI application, conditions as of the date the demolition application was approved.

**Extraordinary Site Costs:** Costs that exceed the level of expenditure anticipated in the TDC limits. **Extraordinary site costs must be justified and verified by an independent certified engineer**, in accordance with Section II(A)(3) of the NOFA. Extraordinary site costs may be incurred in the remediation and demolition of existing property, as well as in the development of new and rehabilitated units. Examples of such costs include, but are not limited to, removal or replacement of extensive underground utility systems, extensive rock and/or soil removal and replacement, construction of extensive streets and other public improvements, dealing with unusual site conditions such as slopes, terraces, water catchments, lakes, etc., and dealing with flood plain and other environmental remediation issues.

**FHA Mixed-Income Housing Initiative:** Underwriting Guidelines for using FHA-insured loans in HOPE VI mixed-income projects can be found in HUD Notice FHA 97-12 (as extended), available through HUDCLIPS ([www.hudclips.gov](http://www.hudclips.gov)).

**Healthy Homes.** HUD's Healthy Homes Initiative was developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to, the following:

1. educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others;
2. incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, properly ventilated windows to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can cause asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323.

More information on Healthy Homes can be found on HUD's Home Page ([www.hud.gov/hhchild.html](http://www.hud.gov/hhchild.html)).

**Homeownership Proposal:** HOPE VI funds may be used to provide appropriate replacement homeownership assistance for displaced public housing residents or other public housing-eligible low-income families. If homeownership units are included in a Grantee's Revitalization Plan, the Grantee will be required to submit a Homeownership Proposal for HUD approval that describes how the program will work, the financing, the amount of HOPE VI funding to be used for eligible costs, how many families will be assisted, etc. Units are subject to the 80 percent of Area Median Income (AMI) low-income family limitations under the 1937 Act. Assistance may include:

1. Downpayment or closing cost assistance;
2. Provision of second mortgages; and/or
3. Construction or permanent financing for new construction, acquisition, or rehabilitation costs related to homeownership replacement units.

Note that homeownership units will be deemed replacement units only if, when combined with ACC rental units, they do not exceed the total number of units demolished and/or disposed of at the targeted severely distressed project.

**Household:** Occupants of one dwelling unit.

**Housing Authority Funds:** Funds, other than grant funds, under the control of the Housing Authority such as operating reserves, Section 8 administrative fees, and non-HUD resources.

**HOME funds:** Housing funds distributed from HUD to units of general local governments and States for new construction, rehabilitation, acquisition of standard housing, assistance to homebuyers, and tenant-based rental assistance. Current legislation allows HOME funds to be used in conjunction with HOPE VI, but not with Capital Grant funds. Information about the HOME Program can be found on HUD's Home Page ([www.hud.gov/cpd/home/homeweb.html](http://www.hud.gov/cpd/home/homeweb.html)).

**HUDCLIPS:** On this website ([www.hudclips.org](http://www.hudclips.org)) you can find and download all HUD and Standard forms, notices, handbooks, etc. In addition, from this site you can access the Federal Register, the Code of Federal Regulations (CFR), OMB Circulars, basic laws, and other important information.

**Leveraging:** The funds obtained from outside sources that you bring to the revitalization project now, at the application stage. HUD compares the amount of committed funds that are documented in the application to the amount of HOPE VI funds requested, and that ratio is used to rate Factor 4, Leveraging Resources. Funds committed from other sources for development and for community and supportive service programs are rated separately. While applicants are not required to demonstrate that they have obtained any funding commitments during the application stage, failure to provide leveraging will result in the loss of points under Rating Factor 4, which is worth 10 points. *see Match*

**LIHTC equity funds:** Private funds raised as project equity from the sale of Federal Low-Income Housing Tax Credits, as authorized by Section 42 of the Internal Revenue Code as enacted by the Tax Reform Act of 1986 as amended. See Rating Factor 4(1)(a)(iii) of the NOFA for the requirements you must meet in order to have tax credits count toward the amount of funds you have leveraged for hard construction costs.

**Low-income:** Low-income families are those families who have incomes that are no more than 80 percent of the HUD-adjusted median family income for the area (also referred to as the Area Median Income (AMI)). HUD publishes AMI tables for each family size in each locality annually. The income limit tables may be accessed on HUD's Home Page ([www.hud.gov/cpd/home/limits/income/income.html](http://www.hud.gov/cpd/home/limits/income/income.html)).

**Market Rate units:** Housing units for which renters or homeowners do not have income eligibility restrictions. Capital costs for these units may not be written down with public housing funds.

**Match:** Section VI(D)(1) of the NOFA requires that, if you are selected for funding, you must bring a minimum amount of other resources to the project other than HOPE VI funds. You do not need to provide proof that you have these resources in hand at the application stage. Rather, you will document that you have obtained these resources during the life of the project when you submit your quarterly progress report.

**Overall Match:** Section VI(D)(1)(a) of the NOFA implements Section 24(c)(1)(A) of the Act, which requires you to supplement your grant with funds from other sources equal to not less than 5 percent of the HOPE VI funds provided. For example, for a \$35 million grant, you must provide other matching resources equal to at least 5 percent of the total grant, or \$1,750,000.

**Community and Supportive Services Match:** Section VI(D)(1)(b) of the NOFA implements Section 24(c)(2)(B) of the Act, which states that if you propose to use more than 5 percent of your HOPE VI grant for community and supportive services (you may use up to 15 percent of your grant for such services), you must provide supplemental matching funds from sources other than HOPE VI in an amount equal to the amount used in excess of 5 percent. If you assume that you have requested the full 15 percent of your \$35 million grant for CSS activities, you may request \$5,250,000. The first 5 percent, or \$1,750,000, is not required to be matched. The remaining amount, \$3,500,000, however, must be matched on a one-for-one basis.

Thus, in this example, your total match requirement would be \$5,250,000. Section VI(D)(1)(c) of the NOFA provides a list of the kinds of resources you may use for matching purposes.

**MBE/MWB:** If you are awarded a HOPE VI grant, you must adopt the goal of awarding a specified percentage of the dollar value of the total HOPE VI contracts to be awarded to minority business enterprises and take appropriate affirmative action to assist resident-controlled and women's business enterprises, in accordance with Executive Orders and 24 CFR 85.36(e). Part 85 provides that affirmative steps include:

1. Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
2. Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
3. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;
4. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
5. Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and
6. Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs 1 - 5 above.

**Mixed-Finance:** The combined use of publicly and privately financed sources of funds for the development of public housing units in accordance with 24 CFR 941 subpart F or any successor regulations.

**Mixed-Income:** Projects that contain a combination of unit types, including public housing and non-public housing units.

**Modernization funds:** HUD funds provided to PHAs under section 14 of the Act, including the Comprehensive Grant Program or the CIAP Program, which PHAs use for rehabilitation of housing projects. These programs have been replaced by the public housing Capital Fund, effective in FY 2000 (see above).

**MROP funds:** Major Reconstruction of Obsolete Project Funds awarded by HUD to PHAs for rehabilitation of public housing projects. Although the MROP Program ended in the early 1990's, remaining MROP funds have been converted to the Capital Fund and maybe used in mixed-finance public housing development projects provided such use has been approved by HUD.

**Neighborhood Networks:** These Centers, originally designed for HUD-insured and HUD-assisted properties, have helped hundreds of residents improve computer technology skills which in turn has enhanced the self-sufficiency, employability and economic self-reliance of low-income families. If you are awarded a Revitalization grant, you will be required to adapt the Neighborhood Networks Initiative to your HOPE VI project. HUD will make technical assistance available to each PHA where needed. More information on the requirements of Neighborhood Networks is available on HUD's Home Page ([www.hud.gov/nnw/nnwindex.html](http://www.hud.gov/nnw/nnwindex.html)).

**NOFA:** Notice of Funding Availability, published in the Federal Register to announce available funds and application requirements.

**OMB Circulars and Administrative Requirements:** Documents that provide recipients of Federal funds with the administrative requirements related to the expenditure of funds. Copies of OMB Circulars can be found on HUDCLIPS ([www.hudclips.org](http://www.hudclips.org)).

Administrative requirements applicable to PHAs are:

24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments)

OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments): published in the Federal Register on May 4, 1995.

Administrative requirements applicable to nonprofit organizations are:

24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations)

OMB Circular A-122 (Cost Principles for Non-Profit Organizations): published in the Federal Register on 5/8/97

**One Strike and You're Out:** The "One Strike" initiative allows public housing authorities to deny occupancy to applicants, as well as evict residents, on the basis of alcohol abuse and illegal drug-related activities. Implementing this initiative is one of the ways that you can provide greater safety and security for residents and the community. More information can be found on HUD's Home Page ([www.hud.gov/progdesc/1strike.html](http://www.hud.gov/progdesc/1strike.html)).

**PATH:** HUD encourages participation in the Partnership for Advancing Technology in Housing (PATH). This voluntary initiative seeks to accelerate the creation and widespread use of advanced technologies to radically improve the quality, durability, environmental performance, energy efficiency, disaster resistance, and affordability while reducing the environmental impact of our Nation's housing. Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices.

PATH has a FY 2000 budget of \$10 million. PATH will provide technical support in design and cost analysis of advance technologies to be incorporated in project construction. HUD will provide technical assistance in the form of architectural, engineering and financial analysis to incorporate the specific technologies appropriate to the type of construction and climate. Applicants should see [www.pathnet.org/about/about.html](http://www.pathnet.org/about/about.html) on the Internet for more information, the list of technologies, latest PATH Newsletter, results from field demonstrations, and PATH projects.

**Public housing unit:** A unit that is eligible to receive operating subsidy pursuant to section 9 of the Act (42 U.S.C. 1437g).

1. 100 percent Public Housing Units: Dwelling units where 100 percent of the rehabilitation or new construction is financed with PH funds (HOPE VI, Development, CGP, CIAP, and/or MROP funds) only. These units are under ACC and receive operating subsidy, must serve persons who are public housing eligible, and must comply with public housing regulations.
2. Public Housing/Low-Income Housing Tax Credit Units: Units that are funded with PH funds (HOPE VI, Development, CGP, CIAP, and/or MROP funds) and with equity from the sale of ownership interests in Low-Income Housing Tax Credits (LIHTC). These units are under ACC and receive operating subsidy; however, they also must comply with requirements of the LIHTC program.

**Replacement Units:** Public housing units, on- or off-site, that will be placed under an ACC, or that will be sold to homeowners under eligible homeownership programs. The number of replacement public housing units may not exceed the number of original units in the project that have been disposed of and/or demolished.

**Reconfiguration:** Altering the physical structure of a unit during the course of rehabilitation (e.g., creating five 2-bedroom units from ten 1-bedroom units or converting dwelling units to non-dwelling units).

**Section 202 Mandatory Conversion Plan:** A plan to remove a public housing project that is subject to the requirements of Section 202 of the FY 1996 HUD appropriation act. Applicable projects must be on the same or contiguous sites, contain more than 300 units, and have at least a 10 percent vacancy rate. Applicable regulations are at 24 CFR part 971. More information, as well as the content and suggested format for conversion plans, are provided on HUD's Home Page ([www.hud.gov/pih/sac/section202.html](http://www.hud.gov/pih/sac/section202.html)).

**Section 3:** The purpose of Section 3 of the Housing and Urban Development Act of 1968 (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal State, and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons. Program regulations are at 24 CFR part 135. More information about Section 3 can be found on HUD's Home Page ([www.hud.gov/fhe/sec3over.html](http://www.hud.gov/fhe/sec3over.html)).

**Severely Distressed:** The definition of severely distressed can be found in Section IV(A)(1) of the HOPE VI NOFA. Units targeted in both Revitalization and Demolition applications must meet the definition of severe distress.

**Special Applications Center (SAC):** This HUD office, located in Chicago, processes a variety of applications, including demolition and disposition applications developed under Section 18 of the Act. Information about the SAC can be found on HUD's Home Page ([www.hud.gov/pih/sac/sachome.html](http://www.hud.gov/pih/sac/sachome.html)).

**Step-Up:** Step-Up is an apprenticeship-based employment and training program that provides career potential for low-income persons by enabling them to work on construction projects that have certain prevailing wage requirements. Step-Up encourages work by offering apprenticeships through which low-income participants earn wages while learning skills on the job, supplemented by classroom-related instruction. Step-Up provides a vehicle for achieving compliance with the objectives of Section 3 of the HUD Act of 1968, which requires that preference be given to public housing residents, participants in HUD's Youthbuild programs, and other low- and very low-income persons in the metropolitan area in employment, contracting, and other economic opportunities. More information can be found on HUD's Home Page ([www.hud.gov/progdesc/stepup.html](http://www.hud.gov/progdesc/stepup.html)).

**Subsidized Units:** Housing units for which capital costs are written down by public subsidy funds, and for which occupancy is governed by income restrictions.

**TANF:** Temporary Assistance for Needy Families is the replacement program for AFDC.

**Total Development Cost Limits (TDC):** A limit on the use of public housing funds toward the costs of developing replacement housing units and associated community renewal activities. TDCs are limited by the HUD-published TDC Cost Tables, which are issued for each fiscal year for the building type and bedroom distribution for the public housing replacement units. FY 2000 HOPE VI applicants must use the data in Notice PIH 99-17, available on the HOPE VI Home Page or HUDCLIPS, when calculating TDC, regardless of whether those figures are updated for the next fiscal year in a subsequent Notice.

The TDC limit is made up of the following components:

1. **Housing Cost Cap:** HUD's published limit on the cost of constructing the unit itself, which includes unit hard costs, builder's overhead and profit, utilities from the street, finish landscaping, and hard cost contingency. The allowable TDC limit on the cost of rehabilitating units is 90 percent of the new construction TDC limit, based on the number of public housing units after rehabilitation and reconfiguration.

2. **Community Renewal:** The balance of funds remaining within the TDC limit after the housing cost is subtracted from the TDC limit. This is the amount of public housing funds available to pay for PHA administration, planning, infrastructure and other site improvements, community and economic development facilities, acquisition, relocation, demolition and remediation of units to be replaced on site, and all other development costs.

The costs of Community and Supportive Services, demolition and remediation of units not replaced on site, and extraordinary site costs are not included in the TDC calculation. HOPE VI Grantees may use any non-HUD funds to supplement HUD funds for any project cost.

**Urban Forestry:** HUD encourages you to propose enhancements to the natural environment such as tree and shrub planting to address natural resource issues such as erosion, stormwater management, and water quality that will result in physical improvements to the site; convert public open space now devoid of green vegetation to a natural, inviting, and more livable environment; and plan for the sustainability of such resources after the revitalization activities are completed. Through an MOU between the Department of Agriculture and HUD, technical assistance to develop a natural resource stewardship program is available to public housing authorities. Further information about this initiative can be found on the U.S. Forest Service website ([www.fs.fed/us/research/rvur/urban/urbanforestry/urbanforest.htm](http://www.fs.fed/us/research/rvur/urban/urbanforestry/urbanforest.htm)).

**Very Low Income:** Very low-income families are those families with incomes that are no more than 50 percent of the HUD-adjusted median family income for the area (also referred to as the Area Median Income (AMI)). HUD publishes AMI tables for each family size in each locality annually. The income limit tables may be accessed on HUD's Home Page ([www.hud.gov/cpd/home/limits/income/income.html](http://www.hud.gov/cpd/home/limits/income/income.html)).

**Visitability:** You are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects, both rental and for-sale. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. The two standards of visitability are:

1. at least one entrance to the home is at grade (no steps), approached by an accessible route such as a sidewalk; and
2. the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space.

Allowing use of 2'10" doors is consistent with the Fair Housing Act (at least for the interior doors), and may be more acceptable than requiring the 3 foot doors that are required in fully accessible areas under the Uniform Federal Accessibility Standards (UFAS) for a small percentage of units. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the UFAS are available from the SuperNOFA Information Center (1-800-483-2209) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410. More information on accessibility, adaptability, and visitability may be obtained by calling HUD on (202) 708-2333 or the TTY telephone number, 1-800-877-8339 (Federal Information Relay Service).

**Weed and Seed:** Operation Weed and Seed is a multi-agency strategy that "weeds out" violent crime, gang activity, drug use, and drug trafficking in targeted neighborhoods and then "seeds" the target area by restoring these neighborhoods through social and economic revitalization. Law enforcement activities constitute the "weed" portion of the program. Revitalization, which includes prevention, intervention, and treatment services, and then neighborhood restoration, constitutes the "seed" element. Community policing is the bridge that links the Weed and Seed elements. More information on Weed and Seed can be found at ([www.ojp.usdoj.gov/eows](http://www.ojp.usdoj.gov/eows)).

**Workforce Development Boards:** These local entities, which replace Private Industry Councils, distribute Job Training Partnership Act (JTPA) funds from the Department of Labor.

**Youthbuild:** HUD's Youthbuild Program provides grants to organizations that provide education and job training to young adults ages 16 to 24 who have dropped out of school. Participants must spend half of their time building or rehabilitating housing for homeless people or other low-income families. Youthbuild provides a vehicle for achieving compliance with the objectives of Section 3 of the HUD Act of 1968, which requires that preference be given to public housing residents, participants in HUD's Youthbuild programs, and other low- and very low-income persons in the metropolitan area in employment, contracting, and other economic opportunities. More information can be found on HUD's Home Page ([www.hud.gov/cpd/econdev/ythhome.html](http://www.hud.gov/cpd/econdev/ythhome.html)).

## REVITALIZATION PLAN NARRATIVE

Note: Page numbers refer to pages in the version of the HOPE VI NOFA contained in this Application Kit.

### Exhibit A: SUMMARY INFORMATION

#### A.1 Executive Summary

Provide an Executive Summary, **not to exceed three pages**.

1. Identify and describe the severely distressed public housing project(s).
2. If you target the same project that was targeted in a previously-funded HOPE VI Revitalization grant, review **Section II(A)(4)(e)** (Page 5) of the NOFA and clearly identify the units previously funded and the units applied for in this application.
3. Summarize your proposed revitalization activities.
4. Summarize your major sources of non-public housing financing.

*Related Attachment 20: Application Data Form: Cover Sheet*

A.2 Appropriateness of Proposal. Review **Section V(A)(3)** (Page 28) of the NOFA and demonstrate the appropriateness of your proposal in the context of the local housing market relative to other alternatives.

A.3 Evaluation. Respond to **Rating Factor 3(10)(b)** (Page 53).

*Related Attachment 4: Evaluation Commitment*

## Exhibit B: CAPACITY

### B.1 Revitalization Capacity and Experience

Review **Rating Factor 1** (Page 33). Provide the firm name and address of your development partner and state whether the developer is proposed or has been selected. Respond to **Rating Factor 1(1)(a)**.

*Related Attachment 5: Staffing and Time Allocation Plan*  
*Related Attachment 6: Organizational Chart*  
*Related Attachment 7: Program Schedule*  
*Related Attachment 8: Developer Commitment*

### B.2 Community and Supportive Services Capacity and Experience

Review **Rating Factor 1(2)** (Page 34). Provide the names and addresses of committed CSS partners. Respond to the elements of **Rating Factor 1(2)(a)**.

*Related Attachment 9: CSS Team Commitments*

### B.3 Property Management Capacity and Experience

Review **Rating Factor 1(3)** (Page 35). Indicate whether property management activities will be the responsibility of the PHA, an entity that is part of the development team, or a separate entity. If a separate entity, provide the name and address of committed property management partner. Respond to the elements of **Rating Factor 1(3)(a)**.

*Related Attachment 10: Property Manager Commitment*

B.4 Other Team Members. Review **Rating Factor 1** (Page 33). Provide the firm name and address of any other significant members of your team, a description of the role of the team member, and whether the team member is proposed or has been selected.

*Related Attachment 11: Other Team Member Commitments*

B.5 Diversity of Team. Respond to **Rating Factor 1(4)** (Page 35).

### B.6 Obligation of Modernization Funds

Review **Rating Factor 1(5)** (Page 36) and indicate the percentage of your FY 1998 and prior year Modernization (e.g., Comprehensive Improvement Assistance Program or Comprehensive Grant Program) amounts you have obligated by the quarter ending before the HOPE VI Revitalization application deadline date.

## Exhibit C: NEED

### C.1 Need for Revitalization

Respond to **Rating Factor 2(1)** (Page 37).

*Related Attachment 12: Representative Photographs*

*Related Attachment 13: Certification of Severe Physical Distress*

*Related Attachment 21: Application Data Form: Existing Units, Occupancy, Vacancy*

### C.2 Impact on the Neighborhood

Respond to **Rating Factor 2(2)** (Page 38).

*Related Attachment 14: Neighborhood Conditions*

### C.3 Need for Funding.

Review **Rating Factor 2(3)** (Page 38) and provide the amount of your unobligated FY 1998 and prior year Modernization funds as of the latest quarterly obligation report date.

### C.4 Identification of Need by the Community

Respond to **Rating Factor 2(4)** (Page 39).

### C.5 Need for Affordable Housing in the Community

Respond to **Rating Factor 2(5)** (Page 40).

## Exhibit D: PREDEVELOPMENT ACTIVITIES

### D.1 Relocation and Section 8

- a. Section 8 Needs. Review **Section II(C)** (Page 7) of the NOFA. State the number of Section 8 certificates that will be required for relocation if this HOPE VI application is approved. Indicate the number of units and the bedroom breakout. Note that you must plan to use Section 8 assistance in order to receive points under **Rating Factor 3(5)** (Page 45), Relocation and Section 8. Review **Section III(C)(1)(n)** (Page 10) of the NOFA for information about relocation requirements.

*Related Attachment 15: Section 8 Application*

*Related Attachment 21: Application Data Form: Existing Units, Occupancy, Vacancy*

*Related Attachment 22: Application Data Form: Relocation, Income, Non-Dwelling Units*

- b. Relocation Support. Respond to **Rating Factor 3(5)(a)** (Page 45).
- c. Community Outreach. Respond to **Rating Factor 3(5)(b)**.
- d. Self Sufficiency. Respond to **Rating Factor 3(5)(c)**.
- e. Tracking. Respond to **Rating Factor 3(5)(d)**.

D.2 Hazard Reduction. For units to be rehabilitated or demolished, describe the extent of any required abatement of environmentally hazardous materials such as asbestos (Page 8).

D.3 Demolition. Review **Section III(C)(1)(a)** (Page 8) of the NOFA. Describe your plans for demolition, including the buildings (dwelling and non-dwelling units) proposed to be demolished, the purpose of the demolition, and the use of the site after demolition. If the proposed demolition was previously approved as a Section 18 demolition application, state the date the Section 18 demolition application was submitted to HUD and the date it was approved by HUD. Indicate whether you plan to implement the concept of Deconstruction, as described in **Section (IV)(D)(4)(c)** (Page 26 of the NOFA).

D.4 Disposition. Review **Section III(C)(1)(b)** (Page 9) of the NOFA. Describe the extent of any planned disposition of any portion of the site. Cite the number of units or acreage to be disposed, the method of disposition (sale, lease, trade), and the status of any disposition application made to HUD.

D.5 Acquisition. Review **Sections III(C)(1)(f) and (g)** (Page 9) of the NOFA. Describe any plans for the acquisition of rental replacement units or acquisition of land. Describe the purpose of the acquisition, and how that acquisition is proposed to be financed. Indicate whether you now have site control over the property to be acquired, and if not, describe the process you will use to gain site control and an approximate date that site control can be obtained. If you are selected for funding, you will be required to submit an Acquisition Proposal. See *Glossary*.

D.6 Site Improvements. Describe any proposed on-site improvements, including infrastructure requirements, changes in streets, etc. Describe all public improvements needed to ensure the viability of the proposed project with a narrative description of the sources of funds available to carry out such improvements.

**Exhibit E: PHYSICAL REVITALIZATION PLAN**

E.1 Physical Plan. Describe your planned physical revitalization activities. Refer to **Section IV(D)(2)** (Page 25) of the NOFA for replacement unit requirements.

- a. **rehabilitation**, redesign, or reconfiguration of a severely distressed public housing project in accordance with **Section III(C)(1)(c)** (Page 9) of the NOFA.
- b. **new construction** of public housing replacement rental housing, both on-site and off-site, in accordance with **Section III(C)(1)(d)** (Page 9) of the NOFA.

Indicate whether you plan to use PATH technologies in the construction of replacement housing, in accordance with **Section IV(D)(4)(e)** (Page 26) of the NOFA.

- c. replacement **homeownership** assistance for displaced public housing residents or other public housing-eligible low-income families, in accordance with **Section III(C)(1)(e)** (Page 9) of the NOFA. Also describe any market-rate homeownership units planned, sources and uses of funds. Describe the relationship between the HOPE VI activities and costs and the development of homeownership units, both public housing and market rate. If you are selected for funding, you will be required to submit a Homeownership Proposal. *see glossary*
- d. Major rehabilitation, other physical improvements, or new construction of **community facilities** primarily intended to facilitate the delivery of community and supportive services for residents of the targeted development and residents of off-site replacement housing, in accordance with **Section III(C)(1)(h)** (Page 9) of the NOFA. Describe the type and amount of such space and how the facilities will be used in CSS program delivery or other activities.
- e. Land acquisition and infrastructure and site improvements associated with developing **economic development facilities**, in accordance with **Section III(C)(1)(i)** (Page 10) of the NOFA. Note that HOPE VI grant funds may **not** be used to pay hard development costs or to buy equipment for retail or commercial facilities.
- f. **Extraordinary site work**, in accordance with **Section II(A)(3)(d)(i)** (Page 4) of the NOFA.

*Related Attachment 22: Application Data Form: Relocation, Income, Non-Dwelling Structures*  
*Related Attachment 23: Application Data Form: Proposed Unit Mix Post-Revitalization*  
*Related Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration*

E.2 Design.

Respond to **Rating Factor 3(2)** (Page 42).

*Related Attachment 16: Conceptual Site Plan*  
*Related Attachment 17: Conceptual Interior Unit Design Illustrations*  
*Related Attachment 18: Conceptual Elevations*  
*Related Attachment 19: Photographs of Architecture in the Surrounding Community*

E.3 Market.

Review **Rating Factor 3(3)(a)** (Page 43) and respond to **3(3)(a)(ii)**.

*Related Attachment 27: Preliminary Market Assessment Letter*

E.4 Lessen Concentration.

Respond to **Rating Factor 3(4)** (Page 44).

*Related Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration*

E.5 Affirmatively Furthering Fair Housing.

Accessibility: Respond to **Rating Factor 3(9)(a)** (Page 51).

Adaptability: Respond to **Rating Factor 3(9)(b)** (Page 51).

Visitability: Respond to **Rating Factor 3(9)(c)** (Page 52).

*Related Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration*

E.6 Separability.

Review **Section V(B)(2)** (Page 29) of the NOFA, and, if applicable, address the separability of the revitalized building(s).

*Related Attachment: Current Site Map*

## Exhibit F: COMMUNITY AND SUPPORTIVE SERVICES

### F.1 Community and Supportive Services Plan.

Review **Section IV(C)(2)** (Page 19) of the NOFA for information and requirements of CSS programs. Describe your CSS plan, keeping in mind the elements of **Rating Factor 3(6)** (Page 46).

*Related Attachment 25: Application Data Form: Self-Sufficiency*

### F.2 Endowment Trust.

Review **Section IV(C)(2)(f)** (Page 24) of the NOFA. If you plan to place CSS funds in an Endowment Trust, state the dollar amount and percentage of the entire grant that you plan to place in the Trust.

## Exhibit G: Resident and Community Outreach and Involvement

### G.1 Collaboration and Inclusiveness.

Respond to **Rating Factor 3(7)(a)** (Page 47).

### G.2 Logistics.

Respond to **Rating Factor 3(7)(b)** (Page 47).

*Related Attachment 28: Public Meeting Documentation*

### G.3 Communication.

Respond to **Rating Factor 3(7)(c)** (Page 48).

### G.4 Dissention.

Respond to **Rating Factor 3(7)(d)** (Page 48).

## Exhibit H: OPERATION AND MANAGEMENT PRINCIPLES AND POLICIES

### H.1 Self-Sufficiency and Economic Diversity; Safety and Security.

Review **Rating Factor 3(8)** (Page 49). Demonstrate your team's plan and capacity to carry out the 10 elements listed.

### H.2 Diversity.

Respond to **Rating Factor 3(9)(d)** (Page 52).

## Exhibit I: PROGRAM COSTS

### I.1 Hard Development Costs.

Respond to **Rating Factor 3(3)(b)** (Page 43). Review **Section II(A)(3)(d)** (Page 4) of the NOFA for the certification requirement (Attachment 31) if you are requesting funds for extraordinary site costs.

*Related Attachment 26: Application Data Form: Sources and Uses*  
*Related Attachment 29: HOPE VI Budget*  
*Related Attachment 30: Grant Limitations/TDC Worksheet*  
*Related Attachment 31: Extraordinary Site Costs*

### I.2 Soft Costs.

Review **Section III(C)(1)(j)** (Page 10) of the NOFA for information on soft costs. Respond to **Rating Factor 3(3)(c)** (Page 43).

### I.3 Prior HUD Public Housing Grant Assistance.

Review **Section II(A)(4)(h)** (Page 5) of the NOFA. If applicable, disclose all prior HUD public housing grant assistance received for the project(s) you have targeted for the physical revitalization related to the proposed revitalization activities. Do not include Modernization funds used for prior rehabilitation activities unrelated to the proposed HOPE VI revitalization activities.

## Exhibit J: PARTICIPATION IN THE CONSOLIDATED PLAN/AI PROCESS

Respond to **Rating Factor 5(2)** (Page 59).

*Related Attachment 34: Documentation of Coordination*  
*Related Attachment 35: Consolidated Plan/AI*

## ATTACHMENTS

Attachment 1: City Map.

Provide a to-scale city map that clearly identify the following in the context of existing city streets, the central business district, other key city sites, and census tracts:

- the existing development;
- replacement neighborhoods, if available;
- off-site properties to be acquired, if any;
- the location of the Federally-designated Empowerment Zone or Enterprise Community (if applicable); and
- other useful information to place the project in the context of the city, county, or municipality.

If you request funds for more than one project or for scattered site housing, the map must clearly show that the application meets the revitalization site and unit application guidelines of Section II(A)(4)(b) and (c) of the NOFA.

Attachment 2: Current site map, which shows the various buildings of the project and identifies which buildings are to be rehabilitated, demolished, or disposed of.

Attachment 3: Proposed site map, which indicates where proposed construction and rehabilitation activities will take place and any planned acquisition of adjacent property and/or buildings.

Attachment 4: Evaluation Commitment. Review **Rating Factor 3(10)(a)** (Page 53) and provide the requested support letter(s) that addresses the indicated evaluation areas.

Attachment 5: Staffing and Time Allocation Plan that sets forth the PHA staff positions (and names, to the extent available) responsible for implementing each aspect of the Revitalization Plan and the percentage of each staff member's time to be spent administering the program. The staffing plan also must indicate roles, and responsibilities of each staff member. Do not submit resumes.

Attachment 6: Organizational Chart. Provide an organizational chart that indicates the relationships among PHA staff and between the PHA and members of the Development Team.

Attachment 7: Program Schedule. Provide a Program Schedule that clearly indicates that you will adhere to the timeframes listed in **Section IV(D)(3)** (Page 25) of the NOFA. Assume a Grant Agreement execution date of October 1, 2000.

**FY 2000 HOPE VI Application Kit**

- Attachment 8: Developer Commitment. If you have or expect to procure an outside development team, provide a written commitment from the developer that responds to **Rating Factor 1(1)(a)(i)** (Page 33). If the developer will also act as the property manager, one letter may suffice for Attachments 8 and 10. If the developer is providing resources to the project, those resources may be committed in the same letter.
- Attachment 9: CSS Team Commitments. Provide letters from CSS team members that respond to **Rating Factor 1(2)(a)** (Page 34). If team members are also providing resources to the project, those resources may be committed in the same letter.
- Attachment 10: Property Manager Commitment. If you have or expect to procure a property manager, or if property management will be carried out by the development team, provide a written commitment from the entity that responds to **Rating Factor 1(3)** (Page 35). If the developer will also act as the property manager, one letter may suffice for Attachments 8 and 10. If a separate property manager is providing resources to the project, those resources may be committed in the same letter.
- Attachment 11: Other Team Member Commitments. Review **Rating Factor 1** (Page 33) and submit letters or other documentation of commitments from any other procured or potential team members that will participate in the revitalization. If the team member is providing resources to the project, those resources may be committed in the same letter.
- Attachment 12: Representative Photographs. Review **Rating Factor 2(1)** (Page 37) and submit photographs of the targeted severely distressed public housing that support your assertion that the project is severely distressed, as defined in **Section IV(A)(1)** (Page 13) of the NOFA.
- Attachment 13: Certification of Severe Physical Distress. Submit a certification that meets the requirements of **Section V(B)(1)(a)** (Page 13) of the NOFA. No backup documentation is required for this certification.
- Attachment 14: Neighborhood Conditions. Submit documentation described in **Rating Factor 2(2)** (Page 38).
- Attachment 15: Section 8 Application. If you will need Section 8 assistance, submit a Section 8 application in accordance with **Section II(C)(1)** (Page 7) of the NOFA. A copy of the Section 8 Application is included in Part V of this HOPE VI Application Kit, and also can be downloaded from HUDCLIPS ([www.hudclips.org](http://www.hudclips.org)).
- Attachment 16: Conceptual Site Plan.
- Attachment 17: Conceptual Interior Unit Design Illustrations.
- Attachment 18: Conceptual Elevations.
- Attachment 19: Photographs of Architecture in the Surrounding Community. Provide photographs in conjunction with **Rating Factor 3(2)** (Page 42), Design.

- Attachment 20: Application Data Form: Cover Sheet
- Attachment 21: Application Data Form: Existing Units, Occupancy, Vacancy
- Attachment 22: Application Data Form: Relocation, Income, and Non-Dwelling Structures
- Attachment 23: Application Data Form: Proposed Unit Mix Post-Revitalization
- Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration
- Attachment 25: Application Data Form: Self-Sufficiency
- Attachment 26: Application Data Form: Sources and Uses
- Attachment 27: Preliminary Market Assessment Letter. Respond to the requirements of **Rating Factor 3(3)(a)(i)** (Page 43).
- Attachment 28: Public Meetings Documentation. Review **Section IV(C)(1)** (Page 18) of the NOFA, complete Attachment 28, and submit the documentation required by **Section V(B)(3)(a)** (Page 30) of the NOFA.
- Attachment 29: HOPE VI Budget. Provide the proposed HOPE VI budget on form HUD-52825-A, parts I and II. This form can be found in Part V of this HOPE VI Application Kit and on HUDCLIPS ([www.hudclips.org](http://www.hudclips.org)).
- Attachment 30: Grant Limitation/TDC Worksheets. Review **Section II(A)(3)** (Page 3) of the NOFA and complete these Worksheets.
- Attachment 31: Extraordinary Site Costs. If you request funds to pay extraordinary site costs in accordance with **Section II(A)(3)(d)(i)** (Page 4) of the NOFA, submit the documentation required by **Section II(A)(3)(d)(ii)** of the NOFA.
- Attachment 32: Non-Public Housing Leveraged Resource List. In accordance with **Rating Factor 4** (Page 54): Leveraging Resources, enter the dollar value of all non-public housing leveraged funds or services on the list provided, differentiating between resources to be dedicated to physical development and resources to pay for community and supportive services programs. For each resource entered on Attachment 32, you **must** submit backup documentation, in Attachment 33 or elsewhere in the application.
- Attachment 33: Resource Commitment Letters. Review **Rating Factor 4** (Page 54) and submit letters of commitment of resources that meet the given documentation requirements. Enter information from each letter of commitment on Attachment 32. Letters of commitment from elsewhere in the application (e.g., evaluation, team member capacity) do not have to be repeated in Attachment 32 as long as the page numbers of those letters are entered on Attachment 31.

Attachment 34: Documentation of Coordination. Review **Rating Factor 5(1)** (Page 58) and provide the documentation described in Rating Factor 5(1)(c)(i).

Attachment 35: Consolidated Plan/AI. Review **Rating Factor 5(2)** (Page 59) and provide a copy of the page(s) of the Consolidated Plan that identifies severely distressed public housing as a need, as described in Rating Factor 5(2)(a)(i).

**ATTACHMENT 28**

**PUBLIC MEETING DOCUMENTATION**

Use this worksheet to record the dates and issues covered in your training session and public meetings, as required by Section IV(C)(1) of the NOFA (Page 18). Each of the issues must be covered in at least one of the public meetings. Use the bottom section to check off the documentation submitted to meet the Threshold requirements of Section V(B)(3) of the NOFA (Page 30). Place all documentation of your meetings behind this worksheet.

	Training Session	Meeting 1	Meeting 2	Meeting 3
<b>DATE HELD:</b>				
<b>ISSUES COVERED:</b>				
HOPE VI planning and implementation process				
Proposed physical plan, including site and unit design				
Extent of proposed demolition				
Planned community and supportive services				
Other proposed revitalization activities				
Relocation				
Reoccupancy plans and policies				
Section 3 and employment opportunities				
<b>REQUIRED DOCUMENTATION:</b>				
notice placed in a commercial newspaper or journal				
first page of sign-in sheets and certification of number of sheets collected				
signed and notarized copies of the meeting minutes				

**ATTACHMENT 30**  
**REVITALIZATION GRANT LIMITATIONS WORKSHEET**

1. Maximum dollar amount for **TDC Cap**, including "Housing Allocation" and "Community Renewal Allocation," calculated separately for Replacement Units and for existing public housing units to be substantially rehabilitated [including reconfigurations].
  - A. Calculation of maximum grant for Replacement Units  
 [On- or off-site, including PH rental, PH/LIHTC rental, and homeownership. For the TDC calculation, treat units to be acquired and rehabilitated as new construction. Numbers used in this TDC calculation should be consistent with data provided elsewhere in this application.]
    - (1) Total number of proposed Replacement Units \_\_\_\_\_
    - (2) Sum of TDC Cap [at **100%** w/o 6% trend] for these units \$ \_\_\_\_\_
    - (3) Amount requested for Replacement Units \$ \_\_\_\_\_
  - B. Calculation of maximum grant for Substantially Rehabilitated Units (if any)
    - (1) Total number of proposed rehab units [Use number of "after rehab" units rather than pre-rehab, if different] \_\_\_\_\_
    - (2) Sum of TDC Cap [at **90%** w/o 6% trend] for these units \$ \_\_\_\_\_
    - (3) Amount requested for Rehabilitated Units \$ \_\_\_\_\_
  - C. Calculation of maximum grant for TDC Cap.
    - (1) Limit for Replacement units [lesser of 1.A(2) or 1.A(3)] \$ \_\_\_\_\_
    - (2) Limit for Rehabilitated units [lesser of 1.B(2) or 1.B(3)] \$ \_\_\_\_\_
    - (3) Sum of two Limits [1.C.(1) + 1.C.(2)] \$ \_\_\_\_\_
2. Maximum amount that a PHA can request for **Community and Supportive Services** programs. The limit is **15% of the total HOPE VI grant**.
  - A. Total HOPE VI grant requested [Line 5.A.(5)] \$ \_\_\_\_\_
  - B. Maximum allowable for Community and Supportive Services [2.A x .15] \$ \_\_\_\_\_
  - C. Amount requested by PHA \$ \_\_\_\_\_
  - D. Limit for Community and Supportive Services [lesser of Lines 2.B or 2.C] \$ \_\_\_\_\_

3. **Demolition and Site Remediation** costs of units that will not be replaced on site.

- A. Number of on-site units to be demolished \_\_\_\_\_
- B. Number of on-site replacement units \_\_\_\_\_
- C. Difference [3.A minus 3.B] \_\_\_\_\_
- D. Allowable ratio [3.C. divided by 3.A.] \_\_\_\_\_ %
- E. Cost of demolition of all on-site units, i.e. units counted in 3.A.
  - (1) Cost of Abatement and Site Remediation \$ \_\_\_\_\_
  - (2) Cost of Demolition and Minimal Site Restoration \$ \_\_\_\_\_
  - (3) Total allowable expense for purposes of this calculation. [sum of 3.E.(1) and 3.E.(2)] \$ \_\_\_\_\_
- F. Allowable Demolition and Site Remediation costs that can be funded in the grant [3.E.(3) x percentage in 3.D.] \$ \_\_\_\_\_

4. **Extraordinary Site Costs**

- A. Total of all site costs, including "extraordinary" \$ \_\_\_\_\_
- B. Total of "Extraordinary Site Costs" included in 4.A.

List by type and amount [must add up to total]:

	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

5. A PHA may not request more than **\$35 million**. In addition, while a PHA may receive a Revitalization grant of up to \$35 million, that amount plus any previously-received HOPE VI funds awarded for the project may not exceed the per unit limitations established by applicable TDC policy.

A. Total Amount Requested

- |     |   |          |
|-----|---|----------|
| (1) | Maximum grant for TDC Cap<br>[Amount on line 1.C(3)]                    | \$ _____ |
| (2) | Limit for Community and Supportive Services<br>[Amount on line 2.D]     | \$ _____ |
| (3) | Allowable Demolition and Site Remediation costs<br>[Amount on line 3.F] | \$ _____ |
| (4) | Extraordinary Site Costs<br>[Amount on line 4.B]                        | \$ _____ |
| (5) | Total allowable HOPE VI<br>grant  | \$ _____ |

B. Determination of Maximum Fundable Revitalization Grant Amount

- |     |   |              |
|-----|---|--------------|
| (1) | Total allowable costs for applicant<br>[Line 5.A(5)]                            | \$ _____     |
| (2) | Maximum Revitalization award possible<br>under the NOFA                         | \$35,000,000 |
| (3) | MAXIMUM FUNDABLE REVITALIZATION AMOUNT<br>[Lesser of lines 5.B(1)<br>or 5.B(2)] | \$ _____     |

**6. TDC Cost Allocations**

In order to better control the use of HUD public housing funds involved in the development of a project, HUD has established a policy that separates the costs of development into three sub-allocations. Refer to Notice PIH 99-17, included as Part VI of this HOPE VI Application Kit, and divide the amount you are requesting into the following cost categories:

A. Revitalization Application Cost Allocations

Housing Cost Cap:	\$ _____
Community Renewal:	\$ _____
Community and Supportive Services:	\$ _____
Demolition and Remediation of Unreplaced Units:	\$ _____
Extraordinary Site Costs:	\$ _____
<b>TOTAL</b> (must equal grant amount requested; may not exceed \$35 million):	\$ _____

B. Revitalization and Demolition Cost Allocations

If you are submitting a HOPE VI Demolition grant application under Priority Group 5 to augment your Revitalization grant request in accordance with Section VII(A)(1)(e) of the NOFA (Page 63), divide the total amount you are requesting in both applications into the following cost categories. The Revitalization request cannot exceed \$35 million; there is no cap on the amount you can request in a Demolition application.

Housing Cost Cap:	\$ _____
Community Renewal:	\$ _____
Community and Supportive Services:	\$ _____
Demolition and Remediation of Unreplaced Units:	\$ _____
Extraordinary Site Costs:	\$ _____
<b>TOTAL</b> (must equal grant amounts requested in both applications):	\$ _____



## CERTIFICATIONS

The following certifications and forms constitute the final pages of your application. Detach them from this Application Kit or download them from the web ([www.hudclips.org](http://www.hudclips.org)). **DO NOT RETYPE ANY OF THESE FORMS.** Retyped forms will not be accepted.

1. HOPE VI Revitalization Applicant Certifications (Form HUD-52820-A). This form must be signed by the **Chairman of the Board** of the Housing Authority.
2. Certification of Consistency with the Consolidated Plan (Form HUD-2991). This form must be signed by the **appropriate local official** (not the PHA). See *Glossary*.
3. Recipient Disclosure/Update Report (Form HUD 2880). This form must be signed by the **PHA Executive Director**. If, after reading the instructions, you have questions regarding Form 2880, please do not spend an inordinate amount of time on it. If HUD has questions on it at a later date, you will be contacted. The form must be submitted in order to have a complete application, but it can be refined at a later date if necessary, since it does not affect the rating of the application.
4. Certification of Consistency with the EZ/EC Strategic Plan (Form HUD-2990). This form, if applicable, must be signed by the **appropriate local official** (not the PHA). See Section III(C)(1) of the General section of the SuperNOFA for details. A list of the EZs and ECs follows the form.

All of the following certifications must be signed by the **Executive Director** of the Housing Authority. Copies of these forms can be found in Part V of this HOPE VI Application Kit.

5. Assurances - Construction Programs (SF 424D)
6. Certification Regarding Debarment and Suspension (HUD-2992)
7. Certification for a Drug-Free Workplace (Form HUD-50070)
8. Certification of Payments to Influence Federal Transactions (Form HUD-50071)
9. Disclosure of Lobbying Activities (Form SF-LLL). Submission of this form is required only if any funds will be or have been used to influence Federal workers, Members of Congress or their staff regarding specific grants or contracts. The applicant determines if the submission of SF-LLL is applicable.